

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Michael (nmi) Sweeting

Title: *System and Method for Providing Futures Contracts  
in a Financial Market Environment*

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Under 37 C.F.R. §§ 1.56, .97, and .98, Applicant respectfully requests that the references listed in the attached PTO 1449 form be considered and cited in the examination of the Application. The present Application was filed after June 30, 2003. Therefore, under the July 11, 2003, waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of U.S. Patents and U.S. Patent Application Publications listed in the attached PTO 1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner.

Applicant believes that no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker & Botts, L.L.P.

Respectfully submitted,  
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Date: October 20, 2003

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**05073**

Patent Trademark Office

PTO-1449  <b>Information Disclosure Citation in an Application</b>	<b>Application No.</b>	<b>Applicant(s)</b> Michael (nmi) Sweeting	
	<b>Docket Number</b> 069547.0172	<b>Group Art Unit</b>	<b>Filing Date</b> October 20, 2003

## U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	4,903,201	02/20/1990	Wagner	364	408	11/03/1983
	B	5,202,827	04/13/1993	Sober	364	408	05/10/1990
	C	5,262,942	11/16/1993	Earle	364	408	06/05/1990
	D	5,774,880	06/30/1998	Ginsberg	705	36	02/28/1995
	E	5,857,176	01/05/1999	Ginsberg	705	36	05/09/1997
	F	5,884,286	03/16/1999	Daughtery, III	705	36	09/17/1996
	G	5,905,974	05/18/1999	Fraser et al.	705	37	12/13/1996
	H	5,970,479	10/19/1999	Shepherd	705	37	05/28/1993
	I	US 5,560,580 B1	05/06/2003	Fraser et al.	705	37	04/20/1999
	J	US 6,622,130 B1	09/16/2003	Shepherd	705	37	09/21/2000
	K						
	L						
	M						
	N						
	O						
	P						
	Q						
	R						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	S							
	T							

## NON-PATENT DOCUMENTS

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
	U		
	V		
	W		

<b>EXAMINER</b> /Abdul Basit/	<b>DATE CONSIDERED</b> 12/24/2008
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.